

INVOLVING PEOPLE FRAMEWORK (2023-2026)

A guide to effective community engagement and participation



Version Control

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What is the purpose of the Involving People Framework?

“Community engagement is a purposeful process which develops a working relationship between communities, community organisations and public and private bodies to help them to identify and act on community needs and ambitions. It involves respectful dialogue between everyone involved, aimed at improving understanding between them and taking joint action to achieve positive change¹.”

Effective community engagement and the active participation of people is essential to ensure that health and social care services are fit for purpose and lead to better outcomes for people.

Across the Scottish Borders Health and Social Care Partnership our mission² is '*to help the people of the Scottish Borders live their life to the full, by delivering services that place their needs at the heart of everything we do.*'

This mission cannot be achieved by working in isolation, and we are committed to improving the ways in which people, especially those with lived experience, their families, carers and groups experiencing inequality can have their voices heard in decision making that affects them. We want current and future users of the services we provide to know that their views on what is important to them are understood and that they have influence and choice over how their health and social care needs are met.

As the resources (human and financial) we have available to us become ever tighter, it is also vital that patients, families, carers and our communities feel encouraged and supported to take an active role in their own health as well as in shaping and delivering the care we provide.

The [Involving People Framework](#) is intended to be a tool that;

- service providers can use to help plan engagement activities
- service users can refer to in order to find out what they can expect from involvement activities that take place for services provided by the Scottish Borders Health and Social Care Partnership.

The framework is based around the seven [National Standards for Community Engagement](#)

- Planning
- Inclusion
- Support
- Working together
- Methods
- Communication
- Impact

¹ The National Standards for Community Engagement, Scottish Community Development Centre

² Scottish Borders Health & Social Care Partnership Strategic Framework 2023-2026

Within the framework there is a section on each of the seven standards for Community Engagement, setting out the principles to be followed for Involving People in the development and delivery of the services we provide.

There is overlap across the seven standards so it is recommended that when you are using the framework to plan engagement activity, read the whole document first.

The **National Standards for Community Engagement** are good-practice principles, designed to support and inform the process of community engagement, and improve what happens as a result

There are 7 Standards



Inclusion

Support

Working together



Communication

Methods

Planning

Impact

Find out more: www.scdc.org.uk/what/national-standards

Section 1 | Planning



From the outset it is essential to have a clear focus for the engagement work that is going to take place.

Establishing that clear focus is the single most important stage of planning and ensures that everyone involved has accurate expectations about what you are doing and why.

There are many reasons why you might be considering undertaking engagement including:

- Understanding public preferences and priorities
- Exploring issues and coming up with new ideas
- Increasing awareness of an issue
- Improving transparency of decision making processes / making a decision
- Deliver better, more responsive services
- Consider changes to existing services³
- Prompt behaviour change

Ideally the focus or 'scope' of the engagement should be agreed in conjunction with the people or 'stakeholders' who are going to be involved in the process. At times it may be immediately obvious who needs to be involved in the engagement work; but it is good practice to do a stakeholder identification exercise.

There are various tools available to help you carry out stakeholder identification but considering the following questions is a good starting point;

1. Who is going to be most affected?

These people are your primary stakeholders and you need to work closely with them

³ Further information at [Service change | HIS Engage](#)

2. Who is going to be indirectly affected?

These people are your secondary stakeholders and you need to keep them informed, and also monitor their interest levels

3. Who else might be interested in an overview of your work?

More help on identifying stakeholders is included in Section 2 of this framework.

Once you have identified your stakeholders you should bring them together to discuss the need for your engagement work, the resources that you will require to carry it out, and the resources that are available to you.

Together you should then be able to agree the [purpose, scope and timescale](#) of the engagement and the [actions](#) to be taken. Remember to consider the potential [costs](#) associated with your engagement (e.g.venue hire for meetings, [volunteer expenses](#)), capture the [benefits](#) that you are looking for, and any potential [risks](#) associated with the activity.

Some general questions to help you at this stage are;

- Why are you engaging with people? (purpose)
- What do you need to know? (scope)
- Who should be involved? (stakeholders)
- When is the best time to engage? (timescale)

It is also really important to consider your success criteria at this stage of the process.

See the [Impact section](#) of this framework to help you.

Section 2 | Inclusion



Providing opportunities for people to get involved with issues that affect or are important to them is a fundamental part of our mission to help the people of the Scottish Borders live their life to the full, by delivering services that place their needs at the heart of everything we do.

To ensure that your stakeholder list is **inclusive** you should develop a list of individuals, groups and communities that may have an interest or be affected by the focus of your engagement activity.

It is good practice to involve people in compiling your stakeholder list (including members of the public) to ensure the list is inclusive and considers everyone who may have an interest.

Your list should include:

- patients and people who may be directly affected by change, including family members and carers
- groups or organisations who support people who may be affected
- health and social care staff who deliver services being considered for change
- managers of services being considered for change
- members of the local community who may not be affected directly but have an interest in potential changes
- elected members and government officials

Undertaking an [Equality and Human Rights Impact Assessment \(EHRIA\)](#) will also help you to identify your stakeholders. An EHRIA considers the impact of a proposed change and makes sure that any potentially negative effects for stakeholders have been taken into account. It should be done as early as possible to help identify people and groups who should be involved, as well as highlight any potential barriers or imbalance of power that may need to be considered.

The Health and Social Care Partnership has adopted a three part process for Equality and Human Rights Impact Assessments. Links to the templates are embedded below. Guidance notes are in development so if you need support to help you complete the templates please contact the Equalities Lead for the HSCP [Wendy Henderson](#).

[Stage 1: Proportionality and relevance](#)

[Stage 2: Empowering people](#)

[Stage 3: Analysis of findings](#)

Once completed your EHRIA should be published on the website. Please contact communications@borders.scot.nhs.uk

Section 3 | Support⁴



Everyone has a right to share their opinions and experiences to help shape health and social care services. People who face the biggest barriers to realising their rights should be prioritised when it comes to participation and engagement.

When you are engaging with people, you need to consider the [Equality Act 2010](#) and [Human Rights Act 1998](#) and reach out to involve those who may not usually be involved or may find it difficult to speak up.

Nobody should be treated unfairly because of their age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation or any other status. These are known as *protected characteristics*. Undertaking an [EHRIA](#) can help to identify potential disadvantages and offer an opportunity to take appropriate actions to remove or minimise any adverse impact.

Other impact assessments

The [Health and Social Care Standards](#) were rolled out across Scotland in April 2018. These human rights-based standards set out what people should expect when using health, social care or social work services in Scotland. They seek to provide better outcomes for everyone; to ensure that everyone is treated with respect and dignity, and that the basic human rights we are all entitled to be upheld.

The [Fairer Scotland Duty](#) also came into force in April 2018. This Duty requires public bodies to reduce inequalities of outcome caused by socioeconomic disadvantage. To fulfil our obligations under the Duty, we must evidence how we actively consider the reduction in inequalities of outcome in any major strategic decision we make.

The significant and long-standing inequalities that exist in Scotland has resulted in disparities in health outcomes between the most and least advantaged people. These disparities are often referred to as health inequalities. Health inequalities are most commonly associated with socioeconomic inequalities but can also result from a wide range of other factors which include:

- reasons relating to a person's protected characteristics

⁴ Reference material at [Equality and diversity | HIS Engage](#)

- access to education
- access to employment
- access to adequate housing and the location in which a person lives
- individuals' circumstances and behaviours, such as their diet, alcohol consumption, drug use, smoking and exercise

Playing our part to help tackle health inequalities is key to us making care better for everyone.

Adopting a human rights-based approach is one way to help us tackle health inequalities caused by unfair and avoidable reasons.

Taking a human rights-based approach is about:

- improving outcomes for patients, service users and staff by taking a person-centred approach
- making people's rights integral to our work and treating them as individuals, fairly, with respect and dignity
- advancing equality and eliminating discrimination
- engaging with people and empowering them to know and claim their rights
- giving people greater opportunities to participate in shaping the decisions that impact on them
- ensuring the standards and the principles of human rights are integrated into our work
- improving our accountability to respect, protect and fulfil people's human rights

You can view a helpful video (2 mins) about barriers to participation [here](#)

For details of local groups and organisations who you may wish to speak to as part of your involvement activity please contact communications@borders.scot.nhs.uk

Section 4 | Working Together



Now that you have a [plan](#) for your engagement activity which details the [purpose](#), [scope](#) and [timescale](#) of the engagement, the [actions](#) to be taken, and the relevant [stakeholders](#) to involve, you need to consider [how](#) you will work effectively together.

To be clear on who is doing what, it is sensible to define the roles of the people who are involved, the responsibilities that they have, and to outline what their contribution will be. You can capture this information in 'Terms of Reference' for the engagement activity which can be shared with everyone who is involved.

A example 'Terms of Reference' template can be found [here](#) at page 23.

Good relationships

It is very likely when undertaking engagement activity that there will be differing views amongst the various stakeholder groups involved. It is important to set the ground rules for working together from the outset.

The ground rules should be based on;

[Trust](#) – be open and honest in your thoughts and actions

[Respect](#) – value each other's input and find solutions based on collective insight, wisdom and creativity

[Self awareness](#) – take responsibility for your words and actions and don't let negative emotions impact the people around you

[Inclusion](#) – welcome the opinions of others and factor their insights and perspectives into your decision making

[Open communication](#) – open and honest communication leads to better connections

Ensure that people involved know where to go if they wish to raise an issue and try to deal with any conflict as it arises.

Across the Borders there is a network of organisations and groups who can help support involvement activity to ensure that we work effectively together. For further information please email communications@borders.scot.nhs.uk



Section 5 | Methods⁵



Different methods of engagement offer different things to the people who are participating in the engagement.

It is important to select appropriate methods of engagement to meet the purpose, scope and timescale of your activity. It is also important to be clear with participants about the method of engagement on offer and what range of opportunities there will be for them to be involved. This helps manage expectations and allows people to make an informed choice about how and when to engage.

Wherever possible you should include people and groups in discussions about how they would like to be engaged.

Inform (One way flow of information)

Purpose

- to provide balanced and objective information
- to inform those with an interest in the outcome (i.e. stakeholder groups)
- information may need to be tweaked to meet differing needs of stakeholders (i.e. accessibility requirements)

Offer to participants

- we will keep you informed
- we will provide information openly and transparently
- we will not withhold relevant information

Involve / Engage

Purpose

- to work directly with participants throughout the decision making process, ensuring that their concerns and aspirations are understood and considered
- to enable participants to directly influence the decisions or options developed (active participation)

Offer to participants

- we will keep you informed
- we will work with you to ensure that your concerns and aspirations are directly reflected in the outcomes or alternatives developed
- we will provide feedback on how your input has influenced the outcome

⁵ Reference material at [Participation Framework - gov.scot \(www.gov.scot\)](http://www.gov.scot/ParticipationFramework)

- we will ensure that there are a variety of engagement methods available and these will be selected appropriately to meet stakeholder needs

Consult (Two way process)

Purpose

- a structured process to obtain feedback on a specific issue or proposal
- to inform those developing proposals or making the decision
- the consultation process must always be applied to any potential changes that may be considered [major service change](#)
key issues that are relevant for identifying when a proposed service change might be classed as 'major' include:
 - the impact on patients and carers
 - changes in the accessibility of services
 - emergency and unscheduled care
 - public or political concern
 - conflict with national policy or professional recommendations
 - changes in the method of service delivery
 - financial implications, and
 - consequences for other services

Offer to participants

- we will keep you informed
- we will listen to and acknowledge your concerns and aspirations
- we will give serious consideration to your contributions
- we will be open to your influence
- we will provide feedback on how your input has influenced the outcome

Once the appropriate method of engagement has been selected for your activity you will need to create a communications and engagement plan to underpin the activity.

Section 6 | Communication



It is a good idea to summarise all the information that you have put together in a [communications plan](#) to underpin your engagement activity.

The plan can be a very simple document which summarises:

What (you are doing)

Why (you are doing it)

Who (is involved)

When (it is happening)

Where (people find out more / get involved etc)

How (the methods of communication you will use and the frequency of those communications).

It is also important to communicate the results of your engagement activity and inform stakeholders of what happens next.

You should have all the information to hand to include in your plan if you have followed the steps outlined in this framework.

A basic template⁶ for your communications plan can be downloaded [here](#)

⁶ Reference material at [Communication and engagement planning | HIS Engage](#)

Section 7 | Impact

National Standards for Community Engagement



Impact



We will **assess the impact** of the engagement and use what we have learned to **improve our future community engagement**

Find out more: www.scdc.org.uk/what/national-standards

In order to find out whether you have achieved what you set out to do, you need to monitor and evaluate the engagement activity to determine whether it meets its purpose.

Evaluation can help our understanding of involving people in four main ways, helping to:

- clarify the objectives of the exercise by finding practical ways to measure success
- improve project management by building in review and reflection as the work progresses
- improve accountability by reporting what is done and what has been achieved
- improve future practice by developing evidence about what works and what impact different approaches to participation can have.

Evaluating involvement activity can feel complex but thinking about it at the beginning of your involvement activity and building it in as an integral part of the project from the outset will help. By building in clear performance criteria, goals and desired outcomes you will generate learning and results from your involvement activity and improve the way you involve people in the future.

Evaluation should focus on two aspects; the way in which involvement has been undertaken (process), and the results of the involvement activity (outcomes).

Three key questions

1. **What did we do? (process)**

What were the objectives?

What methods were used?

How many people did we reach and how diverse a population were they?

2. **How well did we do it? (process)**

Were the objectives met?

What worked well and not so well?

Were the methods and techniques appropriate?

What could be improved?

3. **What impact did it have? (outcomes)**

Did it achieve intended outcomes?

What was the impact on people or services?

Stages of Evaluation

To help keep the evaluation of your involvement activity as simple as possible there are three stages;

1. Developing an evaluation framework and data collection tools

- do this at the beginning of your involvement activity linked to your aims and objectives
- decide what your goals are and agree how you will measure them
- think about the type of data you will collect; quantitative, qualitative or a mix of both
- for qualitative data think about the questions you will ask to get the information you want

2. Collecting and analysing data

- collect your data in line with the plan you made at stage one
- think about how you are recording and storing the data you have collected
- make sure that you are compliant with [General Data Protection Regulation](#) (GDPR). Information governance colleagues will be able to assist you if you have questions about data protection
- analyse your data – what does it tell you?

3. Reporting, sharing and responding to results

- decide which results need to be communicated
- think about the best way to communicate them – you might use a variety of ways depending on your audience
- prepare the results of your activity in the appropriate way(s)
- share the results – again you might want to do this in a variety of ways including a summary version, written report or face to face meeting / event
- hold a debrief session with relevant people so that learnings from your activity can be fed into future projects

Supporting materials

Supporting materials to help you select the method of evaluation that is right for your engagement activity are available in the [Evaluation Toolkit](#).

Checklist

Use this checklist to detail the actions you have taken in each section and link to any relevant documents you have produced.

Planning	
Inclusion	
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The development of this Involving People Framework took account of the following duties and guidance.

- NHS Reform (Scotland) Act, Section 7: Duty to encourage public involvement - www.legislation.gov.uk/asp/2004/7/contents
- Equality Act 2010 - www.legislation.gov.uk/ukpga/2010/15/contents
- Fairer Scotland Duty (2018) - <https://www.gov.scot/publications/fairer-scotland-duty-guidance-public-bodies/>
- Community Empowerment (Scotland) Act 2015 - <https://www.legislation.gov.uk/asp/2015/6/contents/enacted>
- Human Rights Act 1998 – <https://www.gov.scot/policies/human-rights>
- [Planning with People](#) - Community engagement and participation guidance for NHS boards, Health and social care partnerships and Local Authorities that are planning and commissioning care services in Scotland, Scottish Government and COSLA (Updated May 2024)
- CEL 4 (2010) Informing, Engaging Consulting People in Developing Health and Community Care Services, Scottish Government 2010 - www.sehd.scot.nhs.uk/mels/CEL2010_04.pdf
- The [National Standards for Community Engagement](#) (2016), Scottish Community Development Centre
- The [Quality Framework for Community Engagement and Participation](#), Healthcare Improvement Scotland (May 2023)
- [Participation Framework](#), Scottish Government (February 2023)
- Planning and delivering integrated health and social care: guidance. Scottish Government (December 2015) – [Integration planning and delivery principles](#)